

**SUBCHAPTER 430**

**PERFORMANCE MANAGEMENT**

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## **SUBCHAPTER 430**

### **PERFORMANCE MANAGEMENT**

- References:**
- (a) DoD Directive 1400.25, "DoD Civilian Personnel Management System," November 25, 1996
  - (b) Chapters 23, 43, 45, 53 and 71 of title 5, United States Code
  - (c) Title 5, Code of Federal Regulations, Parts 430, 451 and 531
  - (d) DoD Directive 1440.1, "The DoD Civilian Equal Employment Opportunity Program," May 21, 1987

#### **A. PURPOSE**

This Subchapter implements DoD performance management policies under references (a) through (c); prescribes procedures, delegates authority, and assigns responsibility for performance management within the Department of Defense; and establishes the DoD Performance Appraisal System.

#### **B. POLICY**

It is DoD policy under reference (a) that the objective of performance management is to improve individual, team (where applicable), and organizational performance. An integral part of this objective is the establishment of management accountability for Equal Employment Opportunity (EEO) and Affirmative Employment Program (AEP) practices and principles. In achieving this objective, performance management programs shall:

1. Be designed to meet and integrate fully into organizational or mission goals and objectives, and management processes.
2. Be designed and used as tools for executing management and supervisory responsibilities; communicating and clarifying organizational goals and objectives to employees; involving employees in improving organizational effectiveness and in accomplishing organizational missions and goals; and assessing employee, team, and organizational effectiveness and performance.
3. Identify employee, team, and managerial accountability for the accomplishment of individual, team and organizational goals and objectives.
4. Provide for planning, monitoring, developing, and evaluating individual, team, and organizational performance; use appropriate measures of performance to recognize and reward employees; and use the results of performance appraisal as a basis for appropriate personnel actions.
5. Support and be consistent with merit system principles in Section 2301 of 5 U.S.C. (reference (b)).

6. Provide for involving employees and their representatives in program development, implementation, and application.

7. Provide appropriate training to those involved in the program.

8. Encourage employees to take responsibility to continuously improve, support team endeavors, develop professionally, and perform at their full potential.

9. Ensure the incorporation in performance evaluations of matters required by other law, regulation, and DoD policy including the establishment of a critical element and related performance standards concerning EEO for all supervisors, managers, and other employees with EEO responsibilities as required by paragraph E.2.f. of DoD Directive 1440.1 (reference d).

### **C. PERFORMANCE APPRAISAL**

1. Appendix A of this Subchapter establishes the DoD Performance Appraisal System. It has been approved by the Office of Personnel Management (OPM) (See Appendix B).

2. The DoD Performance Appraisal System governs all performance appraisal programs for covered employees within the Department of Defense. It establishes performance appraisal program requirements. Performance appraisal programs established or revised after the effective date of the DoD Performance Appraisal System shall comply with the System, other applicable DoD policies and procedures, 5 U.S.C. and 5 CFR (references (b) and (c)), and other applicable laws and regulations.

### **D. AWARDS**

Awards are tools to acknowledge, motivate, and reward significant individual, team, or organizational achievements or contributions and shall be an integral part of performance management within the Department of Defense. Awards shall be granted consistent with EEO and AEP policies and free from discrimination regardless of race, color, religion, age, sex, national origin, or disability. Subchapter 451 of this Manual implements DoD policies, procedures, and requirements governing awards programs within the Department of Defense.

### **E. RESPONSIBILITIES**

1. The **Deputy Assistant Secretary of Defense (Civilian Personnel Policy)** shall issue DoD performance management policies and procedures; establish the DoD Performance Appraisal System; and, develop, or assist in the development of, performance management programs and monitor their implementation and effectiveness.

2. The **Heads of the DoD Components** shall ensure the development, implementation, application and evaluation of performance management programs within their Components and

shall ensure that programs established or revised after the effective date of the DoD Performance Appraisal System comply with the System and references (b) through (d).

3. **Managers, Supervisors, Team Leaders (where applicable) and Employees** shall be separately and collectively responsible for individual, team, and organizational performance and for creating a work culture and environment that promotes a high-performance, high-involvement organization.